



**DEPARTMENT OF CORRECTIONS
WESTERN MISSOURI CORRECTIONAL CENTER**

**From The Office Of State Auditor
Claire McCaskill**

**Report No. 2003-41
May 1, 2003
www.auditor.state.mo.us**

AUDIT REPORT



Office Of The
State Auditor Of Missouri
Claire McCaskill

April 2003

The following problems were discovered as a result of an audit conducted by our office of the Department of Corrections, Western Missouri Correctional Center.

The Western Missouri Correctional Center (WMCC) opened in November 1988. The facility is located on 385 acres one-half mile north of Cameron, Missouri and is a medium security facility. This facility has a maximum capacity of 2,619 offenders who are housed in ten housing units.

The WMCC maintenance department uses a computer system to maintain a parts inventory valued at approximately \$509,000. This inventory contains numerous parts that are needed for repairs to the facility's buildings and equipment. Offender workers are allowed inappropriate access to the computer system and are not properly supervised. Offenders are allowed access to the computers so they can assist with data entry and develop database queries to generate monthly summary and detail reports. Because these computers have access to the Department of Corrections (DOC) mainframe computer, these offenders potentially have access to offender records and various accounting records. It was also noted that offender workers are not visible from the storekeeper's workspace and may not be observed for long periods of time.

Cell search policies and documentation need improvement. Although, the WMCC Standard Operating Procedure appears to indicate that each occupied offender area should be searched three times monthly, once on each shift, WMCC facility personnel indicated they interpret the policy to require each offender cell or bay area bed to be searched once each month. Furthermore, despite the standard search report form used, the various housing unit personnel were not consistent in their documentation methods. As a result, it is not clear that all required cell searches were performed.

The WMCC Superintendent does not properly report or document state vehicle usage as required by DOC policy for assigned vehicles.

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YELLOW SHEET

DEPARTMENT OF CORRECTIONS
WESTERN MISSOURI CORRECTIONAL CENTER

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STATE AUDITOR'S REPORT



CLAIRE C. McCASKILL
Missouri State Auditor

Honorable Bob Holden, Governor
and
Gary B. Kempker, Director
Department of Corrections
and
Steve Moore, Superintendent
Western Missouri Correctional Center
Cameron, MO 64429

We have audited the Department of Corrections, Western Missouri Correctional Center. The scope of this audit included, but was not necessarily limited to, the years ended June 30, 2002 and 2001. The objectives of this audit were to:

1. Review institutional compliance with certain legal provisions, regulations, and departmental policies.
2. Review the efficiency and effectiveness of certain management practices and operations.
3. Review certain revenues received and certain expenditures made by the correctional center.

Our audit was conducted in accordance with applicable standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and included such procedures as we considered necessary in the circumstances. In this regard, we reviewed the correctional center's revenues, expenditures, contracts, applicable legal provisions, rules and regulations, and other pertinent procedures and documents, and interviewed correctional center and other state personnel.

As part of our audit, we assessed the correctional center's management controls to the extent we determined necessary to evaluate the specific matters described above and not to provide assurance on those controls. With respect to management controls, we obtained an understanding of the design of relevant policies and procedures and whether they have been placed in operation and we assessed control risk.

Our audit was limited to the specific matters described above and was based on selective tests and procedures considered appropriate in the circumstances. Had we performed additional

procedures, other information might have come to our attention that would have been included in this report.

The accompanying History, Organization, and Statistical Information is presented for informational purposes. This information was obtained from the correctional center's management and was not subjected to the procedures applied in the audit of the Department of Corrections, Western Missouri Correctional Center.

The accompanying Management Advisory Report presents our findings arising from our audit of the Department of Corrections, Western Missouri Correctional Center.



Claire McCaskill
State Auditor

September 19, 2002 (fieldwork completion date)

The following auditors participated in the preparation of this report:

Director of Audits:	Kenneth W. Kuster, CPA
Audit Manager:	Regina Pruitt, CPA
In-Charge Auditor:	Tiffany Blew, CPA
Audit Staff:	Cynthia Freeman Naima Ramlatchman

MANAGEMENT ADVISORY REPORT -
STATE AUDITOR'S FINDINGS

DEPARTMENT OF CORRECTIONS
WESTERN MISSOURI CORRECTIONAL CENTER
MANAGEMENT ADVISORY REPORT -
STATE AUDITOR'S FINDINGS

1. Maintenance Department

The Western Missouri Correctional Center (WMCC) maintenance department maintains a parts inventory. According to the June 2002 inventory report, the parts inventory was valued at approximately \$509,000. This inventory contains numerous parts (such as plumbing supplies, electrical supplies, nuts, bolts, belts, and gaskets) that are needed for repairs to the facility's buildings and equipment. There are 36 employees assigned to this department, some of which maintain the parts inventory and process work orders and others that supervise and perform the repairs. Several offender workers also perform tasks for this department. Our review of the maintenance department noted the following concerns:

- A. Offender workers are allowed inappropriate access to the computer system and are not properly supervised. Offender workers perform most tasks related to stocking and issuing parts inventory, while the storekeeper performs the clerical work. While working in the parts inventory area, the offenders are not visible from the storekeeper's workspace and may not be observed for long periods of time. Offender workers are allowed access to the computers so they can assist with data entry and develop database queries to generate monthly summary and detail reports. Because these computers have access to the Department of Corrections (DOC) mainframe computer, these offenders potentially have access to offender records and various accounting records.

The DOC Institutional Services Policy IS4-1.6 and the WMCC Standard Operating Procedure (SOP) 4-1.6 prohibits offenders from having access to computers and requires all employees with mainframe access to sign a computer security access form, agreeing to not allow offenders to have access to computers either by physical contact or viewing the screen.

- B. In early 2002, the maintenance department's computerized inventory system experienced an equipment failure and all parts inventory information was lost. There were no paper records retained, nor were any backups of the computer files maintained. As a result, all inventory information had to be re-entered into the new inventory system. Backup disks should be maintained and stored off-site to provide increased assurance that any lost data can be recreated.
- C. No documentation, such as count sheets and adjustments, related to the June 2002 physical inventory were available for review. The storekeeper indicated that this documentation had been destroyed after the inventory account adjustments were made. As a result, there are no records to support adjustments made to the parts

inventory and no evidence that discrepancies were properly investigated. Documentation of physical inventories should be maintained to provide assurance that the procedure was properly performed.

WE RECOMMEND the WMCC:

- A. Ensure that offender workers are properly supervised and not allowed access to facility computers.
- B. Ensure that appropriate backup procedures are utilized for computer data.
- C. Ensure adequate records are maintained to support inventory adjustments.

AUDITEE'S RESPONSE

A-C. The Department concurs with these findings and has taken measures to ensure offenders do not have access to computerized systems and are properly supervised. In addition, a hard copy of the parts inventory is now maintained and updated regularly.

2.

Cell Searches

Cell search policies and documentation need improvement, and it is not clear that all required cell searches were performed. The WMCC SOP 20-1.3 requires unannounced, random searches of all occupied offender rooms and bay areas in each housing unit be performed at least once each month by officers on each shift. We reviewed the June 2002 institution search reports and summary report of searches conducted for each housing unit.

Searches are documented on a DOC institutional search report. Despite the standard form used, the various housing unit personnel were not consistent in their documentation methods. Some housing units have each cell and bunk identifying number preprinted or written on the standard forms, while other housing units list cells and bunks searched in the order searched (not necessarily numerical order). Not documenting areas searched in any systematic order makes it difficult to determine whether all occupied offender areas have been properly searched.

As of June 2002, the WMCC offender population was approximately 2,600. The summary reports of searches for this month showed that 1,767 cell searches were conducted. These summary reports identify the number of cell searches performed by each housing unit, but do not take into account that areas searched may be cells, a single bunk area within a cell, or a bay area bed, and also includes cells that were searched more than once.

The SOP appears to indicate that each occupied offender area should be searched three times monthly, once on each shift. However, WMCC facility personnel indicated they

interpret the policy to require each offender cell or bay area bed to be searched once each month.

Clear search policies and standard documentation and reporting methods are needed to ensure all required searches are performed and to improve the ability of the WMCC management to identify noncompliance. Also, regular searches of all offender occupied areas allow staff to identify and confiscate illegal contraband, thus creating a safer environment for all staff and offenders.

WE RECOMMEND the WMCC clarify the facility search policy and develop an institutional search report that will readily document that the required searches have been performed and/or clearly identify offender areas not searched and the reasons searches were not performed. Once the policy and documentation methods are clarified, the WMCC needs to perform searches in accordance with the policy.

AUDITEE'S RESPONSE

The Department concurs with this finding and has revised its Standard Operating Procedure regarding searches to address the concerns noted.

3.

Superintendent's Vehicle

The WMCC Superintendent does not properly report or document state vehicle usage as required by DOC policy for assigned vehicles. The vehicle assigned to the Superintendent is used for daily commuting to and from work, as well as official state business. Monthly vehicle travel logs are not prepared by the Superintendent. Complete vehicle travel logs are needed to distinguish between business and personal use, and demonstrate compliance with department policy. Also, the Superintendent is not preparing a monthly travel assessment to report commuting mileage information to DOC central office as required. This information is needed to ensure Internal Revenue Service reporting guidelines are met.

DOC policy D4-4.1 provides for the preparation of a monthly vehicle travel log to document information regarding name, day and time of trip, destination, purpose of trip, and beginning and ending odometer readings. It also requires a monthly travel assessment report be submitted to the DOC central office for employees with assigned vehicles.

WE RECOMMEND the WMCC Superintendent prepare vehicle travel logs and monthly travel assessment reports.

AUDITEE'S RESPONSE

The Department concurs with this finding and the necessary vehicle travel logs have been completed as required. In light of the recent department policy changes, effective February 1, 2003, neither this specific vehicle nor any state vehicle assigned to the WMCC is now used for commuting purposes.

HISTORY, ORGANIZATION, AND
STATISTICAL INFORMATION

DEPARTMENT OF CORRECTIONS
WESTERN MISSOURI CORRECTIONAL CENTER
HISTORY, ORGANIZATION, AND STATISTICAL INFORMATION

The Western Missouri Correctional Center (WMCC) opened in November 1988. The facility is located on 385 acres one-half mile north of Cameron, Missouri and is a medium security facility. This facility has a maximum capacity of 2,619 offenders who are housed in ten housing units. However, it originally housed 1,975 offenders until saturation housing took place in 1994. The perimeter consists of double fencing with an electronic motion detection system on the interior chain link fence. In addition, an armed vehicular patrol provides additional coverage on a 24-hour basis.

The administration of the WMCC consists of one superintendent and two associate superintendents; the associate superintendent of operations and the associate superintendent of inmate management and one assistant superintendent.

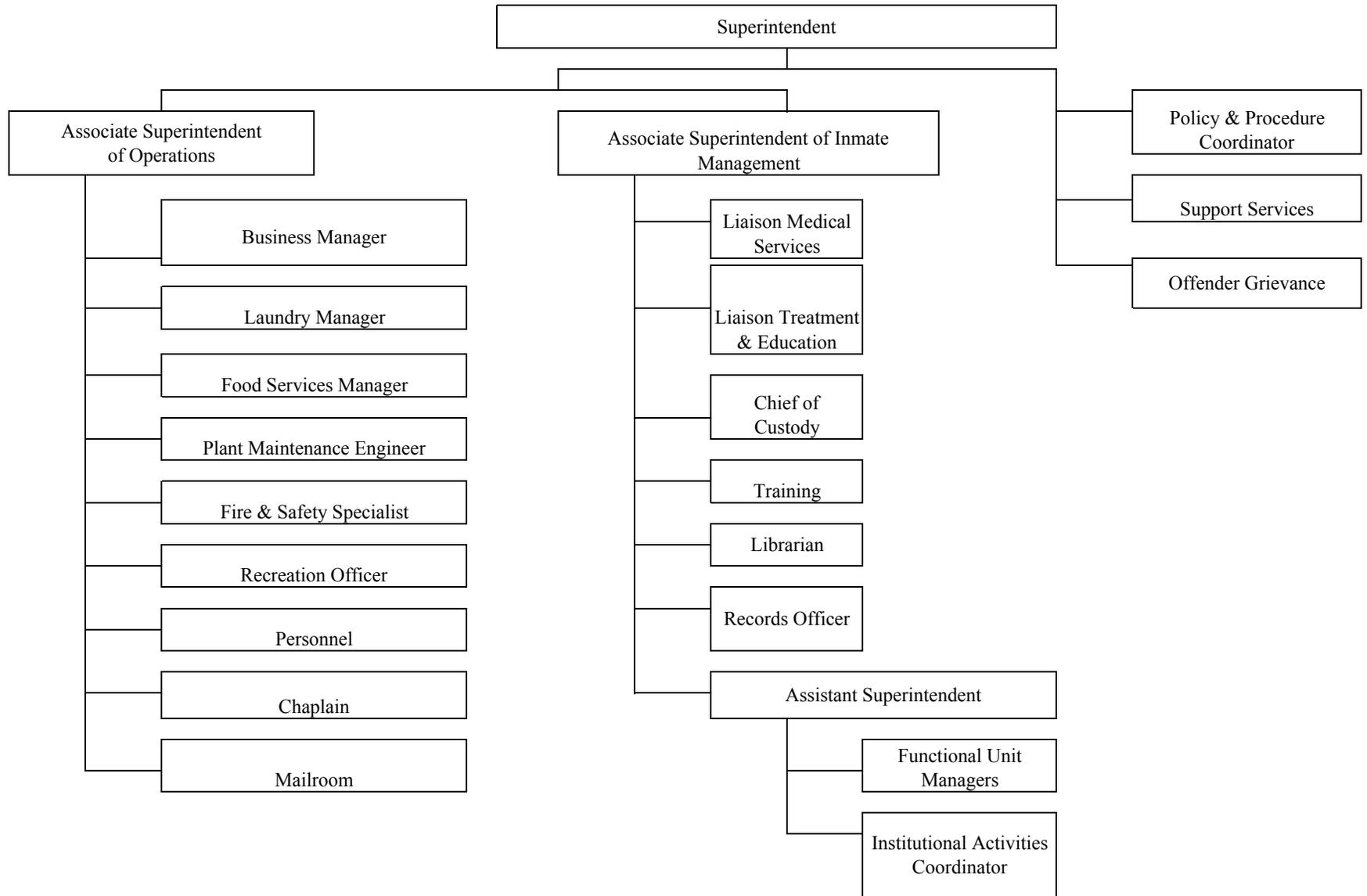
The Western Missouri Correctional Center conducts its own educational and vocational programs. In the past 12 months, 195 offender students took the GED test and 161 passed. The WMCC provides for many offenders/students who require special needs due to hearing, blindness, or some form of learning disability. There are 17 offender students enrolled in an educational class, and there are 3 sessions that are conducted during the day. The vocational program consists of 9 different areas: auto mechanics, small engine repair, electrical wiring, residential plumbing, residential carpentry, modern wood working, diesel mechanics, welding, employability, and life skills. There are approximately 15 offender students enrolled in each vocational class, with 2 sessions of classes each day.

Sentences of the WMCC offenders range from 2 to 12 years, for various types of crimes. The average commitment age is approximately 31½ years, and average current age is approximately 36 years. The average sentence length is approximately 7.9 years. Of the 2,529 offenders at the Western Missouri Correctional Center, 1,197 were sentenced in Jackson County or in the adjacent counties surrounding the Kansas City area. (Statistics as of September 19, 2002)

Steve Moore has served as the facility superintendent since November 1988. The WMCC employed approximately 675 employees assigned to various administrative, service, and security functions as of June 30, 2002.

An organization chart follows.

DEPARTMENT OF CORRECTIONS
 WESTERN MISSOURI CORRECTIONAL CENTER
 ORGANIZATION CHART
 JUNE 30, 2002



Appendix A

DEPARTMENT OF CORRECTIONS
 WESTERN MISSOURI CORRECTIONAL CENTER
 COMPARATIVE STATEMENT OF APPROPRIATIONS AND EXPENDITURES

	Year Ended June 30,					
	2002			2001		
	Appropriations	Expenditures	Lapsed Balances	Appropriations	Expenditures	Lapsed Balances
GENERAL REVENUE FUND						
Personal Service	\$ 13,897,579	13,490,506	407,073	12,940,423	12,939,875	548
Total General Revenue Fund	\$ 13,897,579	13,490,506	407,073	12,940,423	12,939,875	548

Note: The appropriations presented above are used to account for and control the facility's expenditures from amounts appropriated to the facility by the General Assembly. The facility administers transactions from the appropriations presented above. However, the state treasurer as fund custodian and the Office of Administration provide administrative control over the fund resources within the authority prescribed by the General Assembly. This does not represent all expenditures of the facility. Some expenditures relating to state facilities are charged to department-wide appropriations and not identified by facility. Expenditures charged to department-wide appropriations that are identified to Western Missouri Correctional Center (WMCC) are noted in Appendix B.

Appendix B

DEPARTMENT OF CORRECTIONS
 WESTERN MISSOURI CORRECTIONAL CENTER
 COMPARATIVE STATEMENT OF EXPENDITURES (BY BUDGET OBJECT)

	Year Ended June 30,			
	2002		2001	
	Expenditures From Facility Appropriations	Expenditures From Department-Wide Appropriations For WMCC	Expenditures From Facility Appropriations	Expenditures From Department-Wide Appropriations For WMCC
Salaries & Wages	\$ 13,490,506	3,434,520	12,939,875	2,889,197
Travel, In-State	0	38,006	0	22,021
Travel, Out-Of-State	0	811	0	0
Fuel & Utilities	0	2,001,176	0	817,346
Supplies	0	2,032,398	0	0
Administrative Supplies	0	0	0	88,184
Lab & Medical Supplies	0	0	0	166
Repair, Maintenance, & Usage Supplies	0	0	0	470,924
Residential Supplies	0	0	0	1,592,768
Specific Use Supplies	0	0	0	90,081
Professional Development	0	14,183	0	16,805
Communication Service & Supplies	0	22,514	0	27,420
Health Services	0	0	0	1,214
Business Services	0	0	0	30,371
Professional Services	0	54,726	0	11,762
Housekeeping & Janitor Services	0	80,890	0	118,841
Maintenance & Repair (M&R) Services	0	76,500	0	0
Equipment M&R Services	0	0	0	90,500
Transportation M&R Services	0	0	0	1,914
Computer Equipment	0	14,003	0	13,744
Electronic & Photo Equipment	0	0	0	107,494
Medical & Laboratory Equipment	0	0	0	74,888
Motorized Equipment	0	21,300	0	3,000
Office Equipment	0	4,154	0	5,476
Other Equipment	0	78,965	0	0
Specific Use Equipment	0	0	0	121,802
Property & Improvements	0	105,007	0	476,000
Equipment Rental & Leases	0	8,044	0	0
Equipment Lease Payments	0	0	0	479
Building & Equipment Rentals	0	0	0	2,150
Miscellaneous Expenses	0	313,426	0	263,107
Total	\$ 13,490,506	8,300,622	12,939,875	7,337,653

Note: Certain classifications of expenditures changed during the two-year period, which may affect the comparability of the amounts. Also, not included in this schedule are expenditures paid from department-wide appropriations, such as inmate medical services and capital improvements, that do not specify amounts by facility.